

## **Rules Compliance Evaluation Guide**

Based on feedback from the membership, the NCAA Division I Committee on Athletics Certification partnered with the Collegiate Commissioners Association Compliance Administrators (CCACA) to develop sample materials to provide institutions as a resource for the required once in four years rules compliance evaluation. These materials include a checklist of responsibilities, sample introduction letter, sample schedule, a preliminary needs assessment for all 15 required areas to be reviewed, sample interview agendas for recommended interviewees, sample exit interview agenda and sample evaluation report. The committee agreed these materials will provide guidance to individuals conducting these evaluations to demonstrate the nature and scope expected by the committee in this evaluation.

This document is intended to provide guidance for institutions in the conduct of the rules compliance evaluation. This document should be used only as a guide to assist the institution in examining and improving its rules compliance program. It is important to note that institutions are **not** required to use these specific materials in order to conduct a satisfactory evaluation; nor, does the use of these materials alone ensure completion of an acceptable evaluation. The committee will continue to accept reports of any format, provided institutions demonstrate that the evaluation conducted was comprehensive in nature and meets the requirements set forth by the committee.

# INSTITUTIONAL COMPLIANCE REVIEW PROGRAM

## Checklist of Responsibilities

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(Institution)

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(Staff Conducting the Review)

### Date Completed

### Before the Review

1. Compliance review request is received from the institution.
2. Contact institution to discuss reasons for compliance review, identify institutional liaison and discuss external involvement.
3. Contact institutional liaison to discuss dates for campus visit and materials to be forwarded to the institution and returned to the administrator.
4. Send Preliminary Needs Assessment / Materials Request List, Sample Schedule and Review Intro letter to the institution.
5. Review written materials submitted by institution to assess compliance systems.
6. Contact institutional liaison to finalize dates and interview schedule.

### During the Review

7. Conduct campus visit
8. Interviews
9. Exit Interview

### After the Review

10. Contact director of athletics/institutional liaison and others to review report prior to submission of final draft.
11. Send report to chief executive officer with copies (if appropriate) to athletic director, faculty athletics representative, compliance coordinator and senior woman administrator.
12. Provide institution with evaluation form and, if applicable, Document Release Authorization form.

**TRANSMITTED VIA ELECTRONIC MAIL**

Date

Compliance Coordinator  
Institution  
Address

Dear:

Thank you for expressing interest in a review of your institutional compliance program. This serves to confirm that <reviewer's name(s)> will conduct an on campus visit to <institution> <date>.

The objective of a compliance review is to assist an institution in analyzing how well it organizes, communicates, documents and evaluates its rules-compliance efforts. The review helps identify key areas where compliance systems are engaged and functioning as well as areas in which the institution is vulnerable to inadvertent or unintentional rules violations. The following individuals should plan on being interviewed during the review. Interviews should be arranged for the amount of time noted below:

- Chief Executive Officer – 30 minutes
- Faculty Athletics Representative – 45 minutes
- Director of Athletics – 45 minutes
- Senior Woman Administrator – 30 minutes
- Compliance Director/Staff – 1½ hours
- Registrar Liaison to Athletics – 1 hour
- Financial Aid Liaison to Athletics – 1 hour
- Admissions Liaison to Athletics – 30 minutes
- Academic Services Coordinator – 1 hour
- Business Manager – 30 minutes
- Development Director – 30 minutes
- Ticket Manager – 15 minutes
- Camps/Clinics Director – 30 minutes
- Head Coaches (FB, MBB, WBB, two others with a variety of experience) – 30 minutes
- Student-Athletes (FB, MBB, WBB, two others with a variety of experience with one of the five being a SAAC member) – 1 hour (one joint lunch session)

The <conference name> compliance review will primarily focus on fifteen areas. These include, but are not limited to, governance and organization, eligibility, academic performance program (APP), financial aid, recruiting, camps and clinics, investigations and self-reporting of violations, rules education, extra benefits, playing and practice seasons, student-athlete employment, amateurism and commitment to rules compliance.

In order to prepare for your compliance review complete and return all required materials, arranged in a binder, included in the Preliminary Needs Assessment and Materials Request List to the conference office no later than <date>. We have also included a sample schedule that may assist you in scheduling the necessary meetings.

Please do not hesitate to contact me if you have any questions.

Sincerely,

Name  
Title

cc: AD  
FAR

## SAMPLE SCHEDULE

### **Scheduling**

We are always willing to accommodate schedules by conducting meetings early in the morning and/or late in the afternoon. If we need to meet those outside of the athletics department in their respective offices please allow enough time for us to get from place to place and plan to have someone drive us around and keep us on schedule as much as possible. It is not necessary to build-in any extra time between meetings. Please schedule all meetings with athletics department staff, except the athletics director, in one central area if possible.

We prefer to start the review by having a general meeting, usually about an hour long, with the compliance staff. This will help us get a good sense of where we need to focus our questions in subsequent meetings. Also on the first day it is helpful to meet with those external to the athletics department (i.e. President, financial aid, the Registrar, and admissions). When meeting with these individuals it is important to include not only the director but also any individuals who may work exclusively with athletics or act as the athletic department contact(s). Below is a chart of a **recommended** schedule by day and is obviously flexible depending on availability.

DAY I	DAY II	DAY III
Compliance Staff, Admissions, Registrar, Financial Aid, President, Ticket Office, Coaches	Development, Business Office, FAR, AD, SWA, Student-Athletes, Coaches, Compliance Staff	Exit Interview, coaches (if needed)

### **Exit Interview**

The Exit Interview, which signifies the end of our visit, should include the Faculty Athletics Representative, the Director of Athletics, the Senior Woman Administrator and the director of compliance. Others may be added at your discretion. This meeting will last about 90 minutes and will be a verbal report of our findings. This is also the time for us to clarify issues that we have questions about and/or correct things that we may have reported incorrectly. This should be the only meeting held on the third day but, if needed, we can meet with coaches after the exit interview.

### **Conference Calls**

We will schedule a pre-compliance review conference call with you a few days before our visit to review any issues or questions that we may have with the schedule or the materials that you have provided. In emergencies we may be able to arrange conference calls subsequent to our visit to speak with those who we were not able to meet with in-person.

# INSTITUTIONAL COMPLIANCE REVIEW

## Preliminary Needs Assessment and Materials Request List

This document is intended to assist the conference office/outside entity in the administration of the required once-in-four years rules compliance evaluation. It is important to note that conference offices, institutions and/or outside entities are not required to use these specific materials in order to conduct a satisfactory rules compliance evaluation and the use of these materials alone does not ensure an acceptable evaluation of the specified areas.

### GENERAL INFORMATION

Institution: \_\_\_\_\_ Date: \_\_\_\_\_

Chief Executive Officer: \_\_\_\_\_

Faculty Athletics Representative: \_\_\_\_\_

Director of Athletics: \_\_\_\_\_

Senior Woman Administrator: \_\_\_\_\_

Compliance Coordinator: \_\_\_\_\_

Individuals/Departmental Liaisons (Internal & External) to Athletics Responsible for Compliance-Related Duties:

Name	Title	Department	Responsibilities

Are there any other individuals not listed above that you would like to have involved in this review (e.g., General Counsel)?

\_\_\_\_\_

Institutional Contact: \_\_\_\_\_ Title: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

## A. GOVERNANCE AND ORGANIZATION

**Materials Request List** (check the information that is being provided):

- Institution's organizational chart.
- Athletics department's organizational chart.
- Job descriptions of the Faculty Athletics Representative and compliance office staff.
- Philosophy and/or mission statement for the athletics department.
- Athletics department policies and procedures manual or handbook.
- Compliance manual.
- Governing board's policies regarding athletics.
- Documentation/materials pertaining to the roles, purposes and responsibilities of the board of trustees, chief executive officer, faculty athletics representative, athletics committee and compliance committee in the operation of the athletics program.
- Most recent compliance audits or self-study reports completed by the institution or prepared by external agents (e.g., consultants, regional accrediting agencies, conference office).
- Written policy for requesting rules interpretations including any forms used in the process.
- Minutes of athletics committee/compliance committee (if one exists)
- Procedures for reimbursement of travel expenses.
- Procedures for receipt of funds contributed to specific sports by booster clubs.
- Policies regarding coaches' reporting of outside income.
- Written policies and procedures for monitoring promotional activities and include all forms, charts, etc. used in the process.

### Questions:

1. Date of last NCAA Institutional Certification Self-Study: \_\_\_\_\_

2. Are you currently using NCAA Compliance Assistant Internet (CAi) program?

Yes \_\_\_\_ No \_\_\_\_ If so, which module(s)?

- Student-Athlete Information
- Financial Aid Information
- Eligibility Information
- Recruiting Information

3. Number of full-time coaches at your institution: \_\_\_\_\_
4. Number of sport offerings at your institution: Men \_\_\_\_\_ Women \_\_\_\_\_
5. Does your institution's chancellor/president have ultimate responsibility for the athletics program?
6. Does your chancellor/president regularly meet with the athletics director, faculty athletics representative and/or compliance coordinator to discuss athletics issues?
7. Is there an individual or body outside athletics (e.g. governing board) with oversight of athletics? Yes \_\_\_ No \_\_\_ If yes, list:
8. Is there an established Student-Athlete Advisory Committee? Yes \_\_\_ No \_\_\_
9. How does the institution demonstrate institutional control with respect to the following areas within the athletics department:
  - a. Budget
  - b. Accounting
  - c. Purchasing
  - d. Debt Management
10. Describe the process used to distribute funds to student-athletes and staff during away-from-home contests.
11. Staff members issued institutional credit cards? Yes \_\_\_ No \_\_\_ If yes, describe how credit cards are monitored.
12. Do coaches generate money for their programs through team fundraising activities? Yes \_\_\_ No \_\_\_ If yes, how are funds handled and the activities monitored?
13. Who monitors promotional activities involving student-athletes?

#### **B-D. ELIGIBILITY (INITIAL, CONTINUING, TRANSFER)**

**Materials Request List** (check the information that is being provided):

- General admission process.
- Special admission policy for athletics (if applicable).
- Admission appeals processes for general students and special admits (if different).
- Policies and procedures for communicating with prospects regarding the initial eligibility information (including graduation rates and banned substances).
- Policies and procedures for certifying initial eligibility and include all forms, charts, etc. used in the process.



- Written policies and procedures regarding transfers (admission, appeals, certification of eligibility) and include all forms (e.g., permission to speak, etc.) used in the process
- Written policies and procedures for certification of continuing eligibility and include all forms used in the (e.g., worksheets, spreadsheets, etc.).
- Documentation of CEO approval of policies/procedure (14.10.1).

**Questions:**

1. Does your institution have a “special admit” policy for the athletics department?
2. Who is responsible for the admission of prospective student-athletes? Is there a back-up person? If so, who?
3. List the liaisons between athletics and the admissions office.
4. Who is the primary contact with the NCAA Eligibility Center?
5. Who is responsible for updating and monitoring the institution’s IRL?
6. Who is responsible for monitoring the temporary certification period?
7. Who monitors transfer eligibility and one-time transfer exceptions (e.g., permission to speak)?
8. Who is responsible for the admission of transfer prospective student-athlete admissions?
9. Who is the designated Certifying Officer? Is there a back-up person? If so, who?
10. Who else is involved in the certification of continuing eligibility process?

**E. ACADEMIC PERFORMANCE PROGRAM**

**Materials Request List** (check the information that is being provided):

- Written policies/procedures for calculating/submitting APR and GSR data.
- APR penalty reports and improvement plans (if applicable).

**Questions:**

1. Who provides oversight of the data collection and reporting process?
2. Who is responsible for calculating APR and GSR?
3. Who is responsible for submitting APR and GSR data online?
4. Who is responsible for evaluating and analyzing APR, GSR and retention rate data?

5. If applicable, who is responsible for ensuring that all improvement plans have been implemented?
6. How is the academic performance program data shared with coaches/staff?

## F. FINANCIAL AID

**Materials Request List** (check the information that is being provided):

- Sample of completed financial aid agreements for prospective and returning student-athletes (2 examples each).
- Samples of completed letters of renewal (1 example), non-renewal (1 example) and reduction or cancellation of aid (1 example).
- Financial aid policies and procedures relating to athletics (e.g., COA, FGIA, certifying outside aid, awarding aid, appeals, etc.) and include all forms used in the process.
- Samples of completed squad lists (1 head count example, 1 equivalency example).

**Questions:**

1. Who determines the institution's "cost-of-attendance" and the value of a "full grant-in-aid" as defined by NCAA regulations (15.02.2, 15.02.5)?
2. Who determines if a student-athlete's individual financial aid limits, including all aid (e.g., institutional, outside) is permissible and countable (15.1.1)?
3. Who monitors financial aid from outside sources (15.2.5)?
4. Who certifies non-counters (15.5.1.2; 15.5.1.3)?
5. Who monitors head-count and maximum equivalency limits for each sport (15.5.2.2)?
6. Who develops, maintains and updates squad lists (15.5.9)?

## G. RECRUITING

**Materials Request List** (check the information that is being provided):

- Please provide written policies and procedures for recruiting and include any forms used to monitor such activities (e.g. telephone logs, contact and evaluation logs, official and unofficial visit requests). If these are completed on-line please print the appropriate screen views.
- Procedures for sending out National Letters of Intent.

**Questions:**

1. Who has primary responsibility for overseeing day-to-day recruitment monitoring activities?

## H. CAMPS AND CLINICS

**Materials Request List** (check the information that is being provided):

- Please provide written policies and procedures used for conducting camps and clinics and include all forms used in the process (e.g. facility reservation forms, discounts/refunds, etc.). If these are completed on-line please print the appropriate screen views.
- Please provide copies of sample camp brochures or links to camp websites.

**Questions:**

1. Who has primary responsibility for monitoring institutional camps and clinics?
2. Are all camps privately owned or owned by the institution?

## I. INVESTIGATIONS AND SELF-REPORTING OF RULES VIOLATIONS

**Materials Request List** (check the information that is being provided):

- Written policy for investigating and reporting NCAA rules violations including forms.

## J. RULES EDUCATION

**Materials Request List** (check the information that is being provided):

- Samples of rules-education materials used for athletics department staff, student-athletes, institutional staff outside of athletics and individuals outside of the institution (e.g., boosters, alumni).
- Student-Athlete Handbook.
- Agenda and materials distributed for meetings with student-athletes related to rules education.

## K. EXTRA BENEFITS

**Materials Request List** (check the information that is being provided):

- Written policies and procedures for monitoring benefits provided to student-athletes and include all forms used in the process (e.g., complimentary admissions request form, equipment issuance form, occasional meal prior approval form, SAOF request, etc.).

**Questions:**

1. Who has primary responsibility for monitoring the receipt of permissible and impermissible benefits by student-athletes (e.g., travel expenses, awards, equipment and apparel, complimentary admissions, occasional meals, SAOF, etc.)?

## **L. PLAYING AND PRACTICE SEASONS**

**Materials Request List** (check the information that is being provided):

- Please provide copies of any forms used to monitor playing and practice season, contest/date of competition restrictions, and CARA requirements (e.g. declaration of playing season form, weekly CARA log, participation reports, etc.). If these are completed on-line please print the appropriate screen views.
- Provide written policies and procedures for calculating playing and practice seasons, including any forms that are used in the process.

**Questions:**

1. Who has primary responsibility for monitoring adherence to playing and practice season, date of competition/contest, and daily/weekly CARA restrictions?
2. What written procedures are in place for the declaration of playing and practice seasons and the monitoring of countable athletically related activities and institutional and student-athlete contest/date of competition restrictions?

## **M. STUDENT-ATHLETE EMPLOYMENT**

**Materials Request List** (check the information that is being provided):

- Written policies and procedures for monitoring student-athlete employment and include all forms used in this process.

**Questions:**

1. Who has primary responsibility for monitoring student-athlete employment?

## **N. AMATEURISM**

**Materials Request List** (check the information that is being provided):

- Written policies and procedures for certifying initial amateur status of prospective student-athletes after the NCAA Eligibility Center's decision prior to initial full-time collegiate enrollment including all forms, charts, etc. used in the process.

- Written policies and procedures for monitoring the amateur status of enrolled student-athletes including all forms, charts, etc. used in the process.

**Questions:**

1. Who monitors the amateur status of all prospective student-athletes?
  - Who is the primary contact with the NCAA Eligibility Center regarding amateurism certification?
  - Who ensures that prospective student-athletes are registered with the NCAA Eligibility Center and have completed the entire amateurism accurately and in a timely manner?
  - Who ensures the completion of the General Amateurism and Eligibility Form for International and Select Student-Athletes?
2. Who monitors the amateur status of enrolled student-athletes?
  - Who ensures that student-athletes have a final certification decision before competition?
  - Who monitors a student-athlete's involvement with professional teams and agents?
  - Who provides guidance to student-athletes concerning professional careers?

**O. COMMITMENT OF PERSONNEL TO RULES COMPLIANCE ACTIVITIES**

**Materials Request List:** (check the information that is being provided):

- Contracts/letters of appointment for individuals inside the department of athletics (coaches and staff) and individuals outside the department of athletics who are involved in rules compliance activities.
- Job descriptions for individuals inside the department of athletics (coaches and staff) and individuals outside the department of athletics who are involved in rules compliance activities.
- Performance evaluations for individuals inside the department of athletics (coaches and staff) and individuals outside the department of athletics who are involved in rules compliance activities.

## **NCAA ATHLETICS CERTIFICATION- THIRD CYCLE ISSUES**

All rules compliance evaluations conducted on/after September 1, 2008 must include the following four new areas:

- a) Governance and Organization (e.g., governing board policies related to athletics, responsibilities and duties of compliance personnel);
- b) Academic Performance Program (e.g., data collection process, penalty implementation process);
- c) Amateurism; and
- d) Commitment of personnel to rules-compliance activities.

However, if an institution's rules compliance program has been evaluated at least once in the past four years at the time of the athletics certification self-study process and the evaluation was conducted prior to September 1, 2008, the institution is not required to include the four new areas in its evaluation or conduct an additional evaluation to include the four new areas. However, the institution must create a plan for improvement as part of its athletics certification third cycle process demonstrating that the four new areas of review will be included in the next scheduled rules compliance evaluation.

At the conclusion of the campus visit, an exit meeting should be held with the Director of Athletics, FAR, SWA, the Director of Compliance and anyone else that the institution would like to have present. This exit interview should summarize the last 2-3 days the conference staff spent on campus and highlight those areas where the institution is excelling and where suggestions could be provided.

Attached is an example of an exit interview report that can be shared with the institution at the very end of the campus visit. This document should serve as snapshot of the report that will be provided to the institution at a later date. This document will briefly highlight the major areas of the review and provide an indication of what the institution should expect to see in the report.

# COMPLIANCE REVIEW PROGRAM

## Exit Interview

### Governance and Organization

Strong Points

Recommendations

### Eligibility Certification (Initial, Continuing, Transfer)

Strong Points

Recommendations

### Academic Performance Program

Strong Points

Recommendations

### Financial Aid Administration

Strong Points

Recommendations

### Recruiting

Strong Points

Recommendations

### Camps and Clinics

Strong Points

Recommendations

### Investigations and Self-Reporting of Rules Violations

Strong Points

Recommendations



### **Rules Education**

Strong Points

Recommendations

### **Extra Benefits**

Strong Points

Recommendations

### **Playing and Practice Seasons**

Strong Points

Recommendations

### **Student-Athlete Employment**

Strong Points

Recommendations

### **Amateurism**

Strong Points

Recommendations

### **Commitment of Personnel to Rules-Compliance Activities**

Strong Points

Recommendations

Date

President  
Institution  
Address

Dear President:

This is in reference to the compliance review that was conducted on your campus <date> by the <conference name>. <Reviewer(s)> would like to thank you again for your hospitality and support during our visit. We greatly appreciated all of the assistance that was extended to us by everyone involved.

As you will see in the attached report, we are very pleased with the policies and procedures that are currently in place. There appears to be ample communication with those departments on campus that work very closely with the athletic department. Please be advised that although we have made several recommendations as to how the policies and procedures within the compliance program can be improved, it is not a requirement that the University implement any or all of these said recommendations.

Thank you again for all of your help. We wish you continued success with the remainder of the academic year. Please do not hesitate to contact us if we can ever be of assistance to you and your University.

Sincerely,

Reviewer  
Title

cc: Director of Athletics  
Faculty Athletics Representative  
SWA  
Compliance

# Compliance Review Program

<Institution's name>

## INTRODUCTION

A compliance review was conducted by the <conference name> Compliance staff at <institution> <date>. <reviewer(s) and title(s)>, visited the institution on these two dates and interviewed several key individuals (see Attachment A for a complete list of individuals interviewed).

This report will summarize the interviews conducted while visiting the University along with compliance-related materials received and reviewed prior to the visit. Following this initial assessment, <reviewer(s)> conducted discussions with key individuals, both inside and outside the athletics department, to discuss alternatives for addressing potential problem areas. As a result of these discussions, various athletics department administrators and other University personnel will continue to develop, implement and refine policies and procedures designed to strengthen <institution> control in key compliance areas and to enhance the overall integrity of the athletics department. The report focuses on the following major areas:

- A. Governance and organization;
- B. Initial-eligibility certification;
- C. Continuing-eligibility certification;
- D. Transfer-eligibility certification;
- E. Academic performance program;
- F. Financial aid administration, including individual and team limits;
- G. Recruiting;
- H. Camps and clinics;
- I. Investigations and self-reporting of rules violations;
- J. Rules education;
- K. Extra benefits;
- L. Playing and practice seasons;
- M. Student-athlete employment;
- N. Amateurism; and
- O. Commitment of personnel to rules-compliance activities

It is important to note that this report is intended to assist <institution> in examining and improving its compliance program. This report is designed to identify areas of strength as well as enhance the University's overall control and integrity of the athletics program. Additionally, the report seeks to identify areas in which improvements to existing procedures could be made in an attempt to reduce the University's vulnerability to potential violations. It should not be viewed as a comprehensive "audit" or "seal of approval" relative to the University's efforts in compliance. The most sound compliance program cannot completely eliminate a university's vulnerability to inadvertent rules violations. This external review can, however, enhance the University's ability to prevent or detect violations and to take appropriate actions should violations occur.

## **REPORT**

The following is intended to summarize <institution> current compliance strategies as well as indicate various recommendations that the University may wish to implement. It should be noted that the following evaluations and recommendations reflect what was observed at the University at the time this review was conducted on <date>. This report does not reflect any changes that may have been made subsequent to the visit.

### **Governance and Organization**

*Evaluation:*

*Recommendations:*

### **Eligibility Certification (Initial, Continuing, Transfer)**

*Evaluation:*

*Recommendations:*

### **Academic Performance Program**

*Evaluation:*

*Recommendations:*

### **Financial Aid Administration**

*Evaluation:*

*Recommendations:*

### **Recruiting**

*Evaluation:*

*Recommendations:*

## **Camps and Clinics**

*Evaluation:*

*Recommendations:*

## **Investigations and Self-Reporting of Rules Violations**

*Evaluation:*

*Recommendations:*

## **Rules Education**

*Evaluation:*

*Recommendations:*

## **Extra Benefits**

*Evaluation:*

*Recommendations:*

1. Update student-athlete employment forms.

## **Playing and Practice Seasons**

*Evaluation:*

*Recommendations:*

## **Student-Athlete Employment**

*Evaluation:*

*Recommendations:*

**Amateurism**

*Evaluation:*

*Recommendations:*

**Commitment of Personnel to Rules-Compliance Activities**

*Evaluation:*

*Recommendations:*



# COMPLIANCE REVIEW PROGRAM

## Ticket Manager

Name: _____
Title: _____ <u>Ticket Manager</u> _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Job descriptions/performance evaluations
- D. Rules interpretations
- E. Rules violations
- F. Rules education

### **II. Recruiting**

- A. Official Visits

### **III. Eligibility**

### **IV. Financial Aid**

### **V. Student-Athlete Issues**

- A. Complimentary Admissions (issuance procedures)
  - 1. Student-Athlete's Sport
  - 2. Home Events in Other Sport

### **VI. Other**



# COMPLIANCE REVIEW PROGRAM

## Academics

Name: _____
Title: _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Contracts/personnel
- D. Rules interpretations
- E. Rules violations
- F. Rules education

### **II. Recruiting**

### **III. Eligibility**

#### **A. Initial Eligibility**

- 1. Discuss the procedure for identifying prospective student-athletes.
  - a. Prospective student-athletes flagged on institutional computer system?
- 2. Who is ultimately responsible for the admission of prospective student-athletes?
  - a. Do coaches have direct contact with that person?
  - b. How does the admissions staff interact with athletics?
- 3. Discuss the admissions process for general students and how it might differ from the admissions process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?
  - c. Compare graduation success of special admits to the general students?

4. Discuss the admissions appeals process for general students and how it might differ from the appeals process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?
5. Who is ultimately responsible for the final certification of initial eligibility?
  - a. Updated and accurate job description?
  - b. Yearly performance evaluation?
  - c. Back-up person kept up-to-date with rules education?
6. Discuss the process for certification of initial eligibility.
  - a. Written policy/procedure?
  - b. Policy/procedure manual?
  - c. Provided in compliance and/or department manual?
  - d. How are conference rules monitored (if applicable)?
  - e. How are coaches kept informed during process?
7. Policy/procedure for reviewing and validating test scores and academic records?
8. Policy/procedure for walk-ons?
9. How are non-qualifiers monitored during their year-in-residence (if applicable)?
10. Are the policies/procedures for initial eligibility certification, admissions and admission appeals for prospective student-athletes reviewed and evaluated for effectiveness regularly?

#### B. Transfer Eligibility

1. How is transfer eligibility determined?
  - a. Transferable degree credits?
  - b. Qualifier status?
  - c. How are conference rules monitored (if applicable)?
  - d. Progress toward degree (e.g., GPA, 40/60/80, etc.)?
2. Verification of 2-year academic degree programs?
3. Discuss the transfer appeal policies/procedures.
  - a. Written policy/procedure?
  - b. Provided in student-athlete handbook?
  - c. Provided in compliance and/or department manuals?
4. How are student-athletes serving a year-in-residence monitored?
5. Are the policies/procedures for transfer eligibility of student-athletes and transfer appeals reviewed and evaluated for effectiveness regularly?

#### C. Continuing Eligibility

1. Who is the Certifying Officer
  - a. Designated in writing?
  - b. Updated and accurate job description?
  - c. Yearly performance evaluation?
  - d. Do coaches have direct contact with Certifying Officer?
2. Who is the back-up to the Certifying Officer?
  - a. Kept up-to-date with rules education?
3. Discuss the process of the certification of continuing eligibility.
  - a. Written policy/procedure?
  - b. Approved by the CEO (14.10.1)?
  - c. Policy/procedure manual?
  - d. Policies/procedures in compliance and/or department manuals?
  - e. Who keeps certification records? For how long?
  - f. Demonstrated checks and balances?
4. Does the Certifying Officer use a worksheet, checklist or spreadsheet in the certification process?
  - a. If so, are the continuing eligibility rules up-to-date?
  - b. How are the worksheets populated?
  - c. Include conference rules (if applicable)?
5. How are coaches kept updated throughout the process?
  - a. Sign-off on all changes to eligibility?
  - b. Confirm eligibility status before competition or departing for competition?
  - c. Discuss any issues or problems with the process.
6. Student-athletes flagged in University computer system?
  - a. If so, do flags prevent student-athletes from dropping classes?
  - b. Changing majors?
  - c. Who monitors full-time enrollment? How?
7. Discuss degree audits.
  - a. How are class substitutions monitored and documented?
8. Discuss the process of executing the student-athlete forms (e.g., student-athlete statement, drug testing consent, etc.).
9. Are the policies/procedures for certification of continuing eligibility of student-athletes evaluated for effectiveness regularly? Subject to internal audit?

D. Academic Performance Plan

1. Discuss the process for calculating APR and GSR.
  - a. Written policy/procedure?
  - b. Policy manual?
  - c. Provided in compliance and/or department manuals?
2. Are the APR and GSR data subject to internal audit?
3. Are the policies/procedures for calculating and submitting APR and GSR reviewed and evaluated for effectiveness regularly?

#### **IV. Financial Aid**

#### **V. Student-Athlete Issues**

#### **VI. Other**

# COMPLIANCE REVIEW PROGRAM

## Admissions Office

Name: _____
Title: <u>Admissions Office</u> _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Job descriptions/performance evaluations
- D. Rules interpretations
- E. Rules violations
- F. Rules education
- G. Approval of procedures
- H. Involvement of the President's office
- I. Interaction with the athletic department
- J. Staffing

### **II. Recruiting**

### **III. Eligibility**

#### **A. Initial Eligibility**

1. Discuss the procedure for identifying prospective student-athletes.
  - a. Prospective student-athletes flagged on institutional computer system?
2. Who is ultimately responsible for the admission of prospective student-athletes?
  - a. Do coaches have direct contact with that person?
  - b. How does the admissions staff interact with athletics?

3. Discuss the admissions process for general students and how it might differ from the admissions process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?
  - c. Compare graduation success of special admits to the general students?
4. Discuss the admissions appeals process for general students and how it might differ from the appeals process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?
5. Who is ultimately responsible for the final certification of initial eligibility?
  - a. Updated and accurate job description?
  - b. Yearly performance evaluation?
  - c. Back-up person kept up-to-date with rules education?
6. Discuss the process for certification of initial eligibility.
  - a. Written policy/procedure?
  - b. Policy/procedure manual?
  - c. Provided in compliance and/or department manual?
  - d. How are conference rules monitored (if applicable)?
  - e. How are coaches kept informed during process?
7. Policy/procedure for reviewing and validating test scores and academic records?
8. Policy/procedure for walk-ons?
9. How are non-qualifiers monitored during their year-in-residence (if applicable)?
10. Are the policies/procedures for initial eligibility certification, admissions and admission appeals for prospective student-athletes reviewed and evaluated for effectiveness regularly?

## B. Transfer Eligibility

1. How is transfer eligibility determined?
  - a. Transferable degree credits?
  - b. Qualifier status?
  - c. How are conference rules monitored (if applicable)?
  - d. Progress toward degree (e.g., GPA, 40/60/80, etc.)?
2. Verification of 2-year academic degree programs?
3. Discuss the transfer appeal policies/procedures.
  - a. Written policy/procedure?
  - b. Provided in student-athlete handbook?

- c. Provided in compliance and/or department manuals?
- 4. How are student-athletes serving a year-in-residence monitored?
- 5. Are the policies/procedures for transfer eligibility of student-athletes and transfer appeals reviewed and evaluated for effectiveness regularly?

**IV. Financial Aid**

**V. Student-Athlete Issues**

**VI. Other**

# COMPLIANCE REVIEW PROGRAM

## Athletics Administrator Questionnaire (Director of Athletics, Senior Woman Administrator)

Name: _____
Title: _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Contracts/personnel
- D. Rules interpretations
- E. Rules violations
- F. Rules education
- G. Role as the sport administrator in working with compliance matters
- H. Support for coaches, student-athletes, staff
- I. Budgets

### **II. Recruiting**

### **III. Eligibility**

### **IV. Financial Aid**

### **V. Student-Athlete Issues**

### **VI. Other**



# COMPLIANCE REVIEW PROGRAM

## Athletics Business Manager

Name: _____
Title: _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Contracts/personnel
- D. Rules interpretations
- E. Rules violations
- F. Rules education
- G. Budgets
- H. Fundraising/booster clubs
- I. Interaction with the compliance office
- J. Disbursement of funds
  - 1. Petty cash
  - 2. Per diem
  - 3. Team trips
  - 4. Recruiting trips

### **II. Recruiting**

### **III. Eligibility**

### **IV. Financial Aid**

**V. Student-Athlete Issues**

**VI. Other**

# COMPLIANCE REVIEW PROGRAM

## Chief Executive Officer Questionnaire

Name: _____
Title: <u>President</u> _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Oversight/final authority for the athletic department (or designee)
- C. Athletic board
- D. Communication
  - 1. Athletic Director
  - 2. FAR
  - 3. Other individuals within the athletic department
- E. Importance of compliance conveyed throughout the institution
- F. Contracts/personnel
- G. Rules interpretations
- H. Rules violations
- I. Rules education
- J. Involvement/notification of compliance matters
- K. Contracts/personnel

### **II. Recruiting**

### **III. Eligibility**

- A. Involvement in admissions issues

**IV. Financial Aid**

**V. Student-Athlete Issues**

**VI. Other**

# COMPLIANCE REVIEW PROGRAM

## Coach

Name: _____
Title: <u>Head Coach</u> _____
Years at Institution: _____

### I. Governance/Institutional Control.

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Contracts/personnel
- D. Rules interpretations
- E. Rules violations
- F. Rules education
- G. Interaction with the compliance office
- H. Educating staff and student-athletes

### II. Recruiting

- A. For each of the following, what do you do to organize your staff to maintain compliance with NCAA rules? How are these recruiting activities monitored by the athletics administration(i.e. what documents are submitted to whom, how often)? What written procedures are in place to document these practices? (If using a computer software program, describe how it works from your perspective)
  - a. Names of Prospects/Identifying Students as "Recruited Student-Athletes"
  - b. Communication with Admissions and Financial Aid Offices
  - c. Recruiting Calendar Restrictions
  - d. Printed Recruiting Materials (please bring copies to the meeting)

- a. Questionnaires
- b. Recruiting Brochure or Media Guide
- c. Institutional Note Cards
- d. Other materials sent to prospects
- e. Off Campus Recruiting
  - a. Number of Contacts per Prospect
  - b. Number of Evaluations per Prospect
  - c. Number of Coaches recruiting off campus at any one time
- 6. Telephone Calls
  - a. Number per Prospect per Week
  - b. Permissible Callers
  - c. Contactable Prospects
- 7. Permission to have recruiting contact with transfer students
- 8. Official Visits to campus by prospects
  - a. Receipt of Transcript/test scores prior to visit
  - b. Notification of official visit
  - c. Registration with the Clearinghouse
  - d. Distributing and accounting for host money
  - e. Transportation to and from the airport/home
  - f. Visit within 48 hours
  - g. Arranging for game tickets
  - h. Meals within scope of normal campus life
  - i. Lodging within scope of normal campus life
  - j. Record of the Visit
- 9. Unofficial Visits to campus by prospects
  - a. Arranging for visits for juniors

- b. On-campus housing
  - c. Record of the Visit
- B. For each of the following, what do you do to organize your staff to maintain compliance with NCAA rules? How are these camp activities monitored by the athletics administration (i.e. what documents are submitted to whom, when)? What written procedures are in place to document these practices? (If using a computer software program, describe how it works from your perspective)
- a. What are the names of camps and target populations of the camps you are associated with? Which include prospects? How is the camp advertised and promoted? (please provide copies of any brochures or printouts of websites or advertising)
  - b. Who are the staff members performing coaching and other duties at each camp or clinic (e.g. institutional coaches, student-athletes, other college coaches, high school coaches, high schools students)?
  - c. How is each staff member's pay rate determined?
  - d. Are any staff members provided housing?
  - e. If current student-athletes are employed, what are their duties? Do their duties include demonstrating skills?
  - f. How is the price for camp set?
  - g. Are any campers provided discounts?
  - h. What awards or other gifts are provided to attendees?

### III. Eligibility

#### A. Initial Eligibility

1. Discuss the procedure for identifying prospective student-athletes.
  - a. Prospective student-athletes flagged on institutional computer system?
 

Who is ultimately responsible for the admission of prospective student-athletes?

    - a. Do coaches have direct contact with that person?
    - b. How does the admissions staff interact with athletics?
3. Discuss the admissions process for general students and how it might differ from the admissions process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?

- c. Compare graduation success of special admits to the general students?
- 4. Discuss the admissions appeals process for general students and how it might differ from the appeals process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?
- 5. Discuss the process for certification of initial eligibility.
  - b. Written policy/procedure?
  - b. Policy/procedure manual?
  - c. Provided in compliance and/or department manual?
  - a. How are conference rules monitored (if applicable)?
  - e. How are coaches kept informed during process?
- 6. Policy/procedure for walk-ons?
- 7. How are non-qualifiers monitored during their year-in-residence (if applicable)?

#### B. Transfer Eligibility

- 1. How is transfer eligibility determined?
  - a. Transferable degree credits?
  - b. Qualifier status?
  - c. How are conference rules monitored (if applicable)?
  - d. Progress toward degree (e.g., GPA, 40/60/80, etc.)?
- 2. Verification of 2-year academic degree programs?
- 3. Discuss the transfer appeal policies/procedures.
  - a. Written policy/procedure?
  - b. Provided in student-athlete handbook?
  - c. Provided in compliance and/or department manuals?
- 4. How are student-athletes serving a year-in-residence monitored?



### C. Continuing Eligibility

1. Who is the Certifying Officer
  - a. Do coaches have direct contact with Certifying Officer?
2. Who is the back-up to the Certifying Officer?
3. Discuss the process of the certification of continuing eligibility.
  - a. Demonstrated checks and balances?
4. Does the Certifying Officer Include conference rules (if applicable)?
5. How are coaches kept updated throughout the process?
  - a. Sign-off on all changes to eligibility?
  - b. Confirm eligibility status before competition or departing for competition?
  - c. Discuss any issues or problems with the process.
6. Student-athletes flagged in University computer system?
  - a. If so, do flags prevent student-athletes from dropping classes?
  - b. Changing majors?
  - c. Who monitors full-time enrollment? How?
7. Discuss degree audits.
8. Discuss the process of executing the student-athlete forms (e.g., student-athlete statement, drug testing consent, etc.).
9. Are the policies/procedures for certification of continuing eligibility of student-athletes evaluated for effectiveness regularly? Subject to internal audit?

### IV. **Financial Aid**

- A. Interaction with the compliance office regarding financial aid award
- B. Scholarship budget planning
- C. Interaction with the financial aid office

### V. **Student-Athlete Issues**

- A. Discuss the procedure for monitoring adherence to playing and practice season, contest/date of competition, and daily/weekly CARA restrictions. What written procedures are in place to document these practices/policies?

1. Playing Season
  - a. Declaration (season/week)
  - b. First Permissible Practice/Competition
  - c. Daily/Weekly Limitations
  - d. Required Day Off
  - e. Missed Class Time
  - f. Non-Mandatory Summer Conditioning (if applicable)
2. Dates of Competition/Contests
  - a. Institution
  - b. Student-Athlete

.Discuss the procedure for monitoring the following benefits. What written procedures are in place to document these practices/policies?

1. Awards (value/ awarding agency/ number)
  - a. Participation
  - b. Championship
  - c. Special Achievement
2. Meals Incidental to Participation
  - a. Training Table (scholarship/non-scholarship)
  - b. Home Competition
  - c. Away-From-Home Competition
  - d. Vacation Period Expenses
3. Travel Incidental to Participation
  - a. Departure/Return Restrictions
  - b. Vacation Period (regular season/ postseason)
4. Equipment and Apparel
  - a. Issuance/ Retrieval
  - b. Summer use

5. Occasional Meals

**VI. Other**

# COMPLIANCE REVIEW PROGRAM

## Compliance Coordinator/Primary Liaison

Name: _____
Title: _____
Years at Institution: _____

[Some of the questions below may be unnecessary if answers are obtained from the faculty athletics representative or other source.]

### I. Governance/Institutional Control.

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Contracts/personnel
- D. Rules interpretations
- E. Rules violations
- F. Rules education
  - 1. Format
  - 2. Recipients within and outside of the athletic department
- G. Authority to properly do the job
- H. Staffing/resources
- I. Interaction with coaches, athletic staff, institutional staff, student-athletes, etc.

### II. Recruiting

- A. For each of the following, what do you do to organize the department to maintain compliance with NCAA recruiting rules? What written procedures are in place to document these practices? How are these recruiting activities monitored by the athletics administration (i.e. what documents are submitted to whom, how often)?
  - a. Names of Prospects/Identifying Students as "Recruited Student-Athletes"
  - b. Communication with Admissions and Financial Aid Offices

- c. Recruiting Calendar Restrictions
- d. Printed Recruiting Materials
  - a. Questionnaires
  - b. Recruiting Brochure or Media Guide
  - c. Institutional Note Cards
  - d. Other materials sent to prospects
- e. Off Campus Recruiting
  - a. Number of Contacts per Prospect
  - b. Number of Evaluations per Prospect
  - c. Number of Coaches recruiting off campus at any one time
- f. Telephone Calls
  - a. Number per Prospect per Week
  - b. Permissible Callers
  - c. Contactable Prospects
- g. Permission to have recruiting contact with transfer students
- h. Official Visits to campus by prospects
  - a. Receipt of Transcript/test scores prior to visit
- b. Notification of official visit
- c. Registration with the Clearinghouse
- d. Distributing and accounting for host money
- e. Transportation to and from the airport/home
- f. Visit within 48 hours
- g. Arranging for game tickets
- h. Meals within scope of normal campus life
  - Lodging within scope of normal campus life
- 9. Unofficial Visits to campus by prospects
  - a. Arranging for visits for juniors
  - b. On-campus housing
  - c. Record of the Visit
- B. For each of the following, how do you monitor camps in order to assure compliance with NCAA rules? What policies and procedures are in place to approve coaches' involvement with camps (i.e. what documents are submitted to whom, when)? What monitoring functions are in place during the camp? How is this different if coaches are working or operating camps off-campus?
  - 1. Dates of camps scheduled within prescribed time periods, if applicable

2. Camps meet NCAA requirements to be open to all registrants limited only by number and age.
3. Student-athletes and high school coaches are paid the going rate commensurate with their experience and responsibilities (including salary, transportation, housing, etc.).
  - a. Student-athletes are not participating in practice activities under the supervision of a coach outside the playing and practice season.
  - b. Awards or other gifts to attendees are included in the price of the camp.
  - c. Any discounts are provided within NCAA rules (groups, children of institutional employees, etc.)

### III. Eligibility

#### A. Initial Eligibility

1. Discuss the procedure for identifying prospective student-athletes.
  - a. Prospective student-athletes flagged on institutional computer system?
2. Who is ultimately responsible for the admission of prospective student-athletes?
  - a. Do coaches have direct contact with that person?
  - b. How does the admissions staff interact with athletics?
3. Discuss the admissions process for general students and how it might differ from the admissions process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?
  - c. Compare graduation success of special admits to the general students?
4. Discuss the admissions appeals process for general students and how it might differ from the appeals process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?
5. Who is ultimately responsible for the final certification of initial eligibility?
  - a. Updated and accurate job description?
  - b. Yearly performance evaluation?

- c. Back-up person kept up-to-date with rules education?
- 6. Discuss the process for certification of initial eligibility.
  - a. Written policy/procedure?
- b. Policy/procedure manual?
- c. Provided in compliance and/or department manual?
- d. How are conference rules monitored (if applicable)?
- e. How are coaches kept informed during process?
  - g. Policy/procedure for reviewing and validating test scores and academic records?
- 8. Policy/procedure for walk-ons?
- 9. How are non-qualifiers monitored during their year-in-residence (if applicable)?
- 10. Are the policies/procedures for initial eligibility certification, admissions and admission appeals for prospective student-athletes reviewed and evaluated for effectiveness regularly?

#### B. Transfer Eligibility

- 1. How is transfer eligibility determined?
  - a. Transferable degree credits?
  - b. Qualifier status?
  - c. How are conference rules monitored (if applicable)?
  - d. Progress toward degree (e.g., GPA, 40/60/80, etc.)?
- 2. Verification of 2-year academic degree programs?
- 3. Discuss the transfer appeal policies/procedures.
  - a. Written policy/procedure?
  - b. Provided in student-athlete handbook?
  - c. Provided in compliance and/or department manuals?
- 4. How are student-athletes serving a year-in-residence monitored?
- 5. Are the policies/procedures for transfer eligibility of student-athletes and transfer appeals reviewed and evaluated for effectiveness regularly?

#### C. Continuing Eligibility

1. Who is the Certifying Officer
  - a. Designated in writing?
  - b. Updated and accurate job description?
  - c. Yearly performance evaluation?
  - d. Do coaches have direct contact with Certifying Officer?
2. Who is the back-up to the Certifying Officer?
  - a. Kept up-to-date with rules education?
3. Discuss the process of the certification of continuing eligibility.
  - a. Written policy/procedure?
  - b. Approved by the CEO (14.10.1)?
  - c. Policy/procedure manual?
  - d. Policies/procedures in compliance and/or department manuals?
  - e. Who keeps certification records? For how long?
  - f. Demonstrated checks and balances?
4. Does the Certifying Officer use a worksheet, checklist or spreadsheet in the certification process?
  - a. If so, are the continuing eligibility rules up-to-date?
  - b. How are the worksheets populated?
  - c. Include conference rules (if applicable)?
5. How are coaches kept updated throughout the process?
  - a. Sign-off on all changes to eligibility?
  - b. Confirm eligibility status before competition or departing for competition?
  - c. Discuss any issues or problems with the process.
6. Student-athletes flagged in University computer system?
  - a. If so, do flags prevent student-athletes from dropping classes?
  - b. Changing majors?



- c. Who monitors full-time enrollment? How?
7. Discuss degree audits.
    - a. How are class substitutions monitored and documented?
  8. Discuss the process of executing the student-athlete forms (e.g., student-athlete statement, drug testing consent, etc.).
  9. Are the policies/procedures for certification of continuing eligibility of student-athletes evaluated for effectiveness regularly? Subject to internal audit?

#### D. Academic Performance Plan

1. Discuss the process for calculating APR and GSR.
  - a. Written policy/procedure?
  - b. Policy manual?
  - c. Provided in compliance and/or department manuals?
2. Are the APR and GSR data subject to internal audit?
3. Are the policies/procedures for calculating and submitting APR and GSR reviewed and evaluated for effectiveness regularly?

### IV. Financial Aid

- A. Explain the interaction with the financial aid office.  
(Note: Individuals, quality of interaction, timing and frequency, topics covered)
- B. Discuss the lines of communication.  
(Note: forms of communication, network links, access to university system, CAi)
- C. Do coaches contact the financial aid officer regarding packages for PSAs?  
(Note: institution policy, seminars, knowledge of NCAA manual, interpretations process)
- D. Discuss preparation of Squad Lists:  
(Note: individuals involved, monitoring, checking for accuracy)
- E. Discuss how individual SAs are identified and financial aid limits monitored  
(Note: institutional aid, outside sources, responsibility for determining permissible and countable aid)
- F. Discuss team financial aid limits  
(Note: knowledge of head count and equivalency sports, monitoring systems)
- G. Explain the process from when the coach decides to reduce athletics aid through institutional appeal?  
(Note: individuals involved, process, and communication lines)

- H. Discuss administration of cancellation, renewal and non-renewal letters  
(Note: timing, process, responsibility and communication)

## V. Student-Athlete Issues

### A. Amateurism

### B. Playing and Practice Seasons

1. Discuss the procedure for monitoring adherence to playing and practice season, contest/date of competition, and daily/weekly CARA restrictions. What written procedures are in place to document these practices/policies?
  - a. Playing Season
    - Declaration (season/week)
    - First Permissible Practice/Competition
    - Daily/Weekly Limitations
    - Required Day Off
    - Missed Class Time
    - Non-Mandatory Summer Conditioning (if applicable)
  - b. Dates of Competition/Contests
    - Institution
    - Student-Athlete

### C. Student-Athlete Employment

1. Describe the process/procedure your institution uses to monitor your employment during the academic year and during vacation periods.
  - a. Employer (Academic Year/ Vacation Periods)
    - Representative of Athletics Interests.
  - b. Compensation
    - Work Performed.
    - Going Rate.
  - c. Fee-for-Lesson Instruction
  - d. Camp Employment
    - Institutional.

- Noninstitutional.

#### D. Extra Benefits

1. Discuss the procedure for monitoring the following benefits. What written procedures are in place to document these practices/policies?
  - a. Awards (value/ awarding agency/ number)
    - Participation
    - Championship
    - Special Achievement
  - b. Complimentary Admissions (issuance procedures)
    - Student-Athlete's Sport
    - Home Events in Other Sport
  - c. Meals Incidental to Participation
    - Training Table (scholarship/non-scholarship)
    - Home Competition
    - Away-From-Home Competition
    - Vacation Period Expenses
  - d. Travel Incidental to Participation
    - Departure/Return Restrictions
    - Vacation Period (regular season/ postseason)
  - e. Equipment and Apparel
    - Issuance/ Retrieval
    - Summer use
  - f. Occasional Meals
  - g. Student-Athlete Opportunity Fund

#### VI. Other

# COMPLIANCE REVIEW PROGRAM

## Financial Aid Office

Name: _____
Title: _____ <u>Financial Aid Office</u> _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Job descriptions/performance evaluations
- D. Rules interpretations
- E. Rules violations
- F. Rules education
- G. Approval of procedures
- H. Interaction with the athletic department
- I. Staffing

### **II. Recruiting**

### **III. Eligibility**

### **IV. Financial Aid**

#### **A. Organization**

- 1) Explain the interaction between your office and the athletics department.  
(Note: Individuals, quality of interaction, timing and frequency, topics covered)
- 2) Discuss the lines of communication.
  - a. forms of communication
  - b. network links
  - c. CAi

- 3) Rules education NCAA rules?
  - a. Rules education from Athletic Department
  - b. Seminars
  - c. Interpretations process
- 4) Discuss NCAA requirements:
  - a. job descriptions
  - b. evaluations of performance with regard to NCAA rules
  - c. previous violations

## B. Administration

- 1) What is the cost of attendance? What is the value of a full grant-in-aid?  
(Note: value, process to determine figures)
- 2) Identifying individual SAs financial aid issues
  - a. Financial aid limits monitored
  - b. Outside sources, responsibility for determining
  - c. Permissible and countable aid
  - d. Walk-ons
- 3) Discuss team financial aid limits
  - a. Head count
  - b. Equivalency sports
  - c. Monitoring systems
- 4) Reduction of institutional financial aid in excess of a full grant-in-aid has been awarded?  
(Note: individuals involved, process, and communication lines)
- 5) Discuss administration of cancellation, renewal and non-renewal letters
  - a. Timing
  - b. Process
  - c. Responsibility
  - d. Communication
- 6) Discuss the last time a student-athletes engaged the appeals process.
  - a. Timing
  - b. Individual involved (Sport)
  - c. Process
  - d. Outcome

## V. Student-Athlete Issues

## VI. Other

# COMPLIANCE REVIEW PROGRAM

## Registrar's Office

Name: _____
Title: _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Job descriptions/performance evaluations
- D. Rules interpretations
- E. Rules violations
- F. Rules education
- G. Approval of procedures
- H. Interaction with the athletic department
- I. Interaction with the FAR
- J. Involvement of the President's office

### **II. Recruiting**

### **III. Eligibility**

- A. Continuing Eligibility
  - 1. Who is the Certifying Officer
    - a. Designated in writing?
    - b. Updated and accurate job description?
    - c. Yearly performance evaluation?

- d. Do coaches have direct contact with Certifying Officer?
2. Who is the back-up to the Certifying Officer?
  - a. Kept up-to-date with rules education?
3. Discuss the process of the certification of continuing eligibility.
  - a. Written policy/procedure?
  - b. Approved by the CEO (14.10.1)?
  - c. Policy/procedure manual?
  - d. Policies/procedures in compliance and/or department manuals?
  - e. Who keeps certification records? For how long?
  - f. Demonstrated checks and balances?
4. Does the Certifying Officer use a worksheet, checklist or spreadsheet in the certification process?
  - a. If so, are the continuing eligibility rules up-to-date?
  - b. How are the worksheets populated?
  - c. Include conference rules (if applicable)?
5. How are coaches kept updated throughout the process?
  - a. Sign-off on all changes to eligibility?
  - b. Confirm eligibility status before competition or departing for competition?
  - c. Discuss any issues or problems with the process.
6. Student-athletes flagged in University computer system?
  - a. If so, do flags prevent student-athletes from dropping classes?
  - b. Changing majors?
  - c. Who monitors full-time enrollment? How?
7. Discuss degree audits.
  - a. How are class substitutions monitored and documented?
8. Discuss the process of executing the student-athlete forms (e.g., student-athlete statement, drug testing consent, etc.).

9. Are the policies/procedures for certification of continuing eligibility of student-athletes evaluated for effectiveness regularly? Subject to internal audit?

**B. Academic Performance Plan**

1. Discuss the process for calculating APR and GSR.
  - a. Written policy/procedure?
  - b. Policy manual?
  - c. Provided in compliance and/or department manuals?
2. Are the APR and GSR data subject to internal audit?
3. Are the policies/procedures for calculating and submitting APR and GSR reviewed and evaluated for effectiveness regularly?

**IV. Financial Aid**

**V. Student-Athlete Issues**

**VI. Other**



# COMPLIANCE REVIEW PROGRAM

## Sports Information Director/ Media Relations Director

Name: _____
Title: <u>SID</u> _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Job descriptions/performance evaluations
- D. Rules interpretations
- E. Rules violations
- F. Rules education

### **II. Recruiting**

### **III. Eligibility**

### **IV. Financial Aid**

### **V. Student-Athlete Issues**

### **VI. Other**

# COMPLIANCE REVIEW PROGRAM

## Student-Athlete

Name: _____
Title: _____
Years at Institution: _____

### **I. Governance/Institutional Control.**

- A. Importance of compliance conveyed throughout the institution
- B. Rules interpretations
- C. Rules violations
- D. Rules education

### **II. Recruiting**

### **III. Eligibility**

### **IV. Financial Aid**

### **V. Student-Athlete Issues**

#### A. Amateurism

#### B. Playing and Practice Season

1. Describe how your institution monitors the following:

- a. Daily/Weekly Limitations
- b. Required Day Off
- c. Dates of Competition/Contests
- d. Missed Class Time
- e. Summer Workouts

#### C. Student-Athlete Employment

1. Describe the process/procedure your institution uses to monitor your employment during the academic year and during vacation periods.
  - a. Employer (Academic Year/ Vacation Periods)
    - Representative of Athletics Interests.
  - b. Compensation
    - Work Performed.
    - Going Rate.
  - c. Athletics Reputation
  - d. Fee-for-Lesson Instruction
  - e. Camp Employment
    - Institutional.
    - Noninstitutional.

D. Extra Benefits

1. Discuss the procedure for monitoring the following benefits. What written procedures are in place to document these practices/policies?
  - a. Participation and Championship Awards
  - b. Complimentary Admissions
    - Student-Athlete's Sport
    - Home Events in Other Sport
  - c. Meals Incidental to Participation
    - Home Competition
    - Away-From-Home Competition
    - Per diem
  - d. Equipment and Apparel
  - e. Issuance/ Retrieval
  - f. Summer use

- g. Occasional Meals
- h. Student-Athlete Opportunity Fund

**VI. Other**

# COMPLIANCE REVIEW PROGRAM

## Faculty Athletics Representative Questionnaire

Name: \_\_\_\_\_

Title: FAR \_\_\_\_\_

Years at Institution: \_\_\_\_\_

### **I. Governance/Institutional Control.**

- A. Overall concerns with the compliance office
- B. Importance of compliance conveyed throughout the institution
- C. Job descriptions/performance evaluations
- D. Rules interpretations
- E. Rules violations
- F. Rules education
- G. Role within the athletic department
  - 1. Certification of eligibility
  - 2. Legislation
  - 3. Investigations
  - 4. Other areas
- H. Interaction with the President/athletic board

### **II. Recruiting**

### **III. Eligibility**

#### A. Initial Eligibility

- 1. Discuss the procedure for identifying prospective student-athletes.
  - a. Prospective student-athletes flagged on institutional computer system?

2. Who is ultimately responsible for the admission of prospective student-athletes?
  - a. Do coaches have direct contact with that person?
  - b. How does the admissions staff interact with athletics?
3. Discuss the admissions process for general students and how it might differ from the admissions process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?
  - c. Compare graduation success of special admits to the general students?
4. Discuss the admissions appeals process for general students and how it might differ from the appeals process for prospective student-athletes.
  - a. Written policy/procedure?
  - b. Provided in compliance and/or department manual?
5. Who is ultimately responsible for the final certification of initial eligibility?
  - a. Updated and accurate job description?
  - b. Yearly performance evaluation?
  - c. Back-up person kept up-to-date with rules education?
6. Discuss the process for certification of initial eligibility.
  - a. Written policy/procedure?
  - b. Policy/procedure manual?
  - c. Provided in compliance and/or department manual?
  - d. How are conference rules monitored (if applicable)?
  - e. How are coaches kept informed during process?
7. Policy/procedure for reviewing and validating test scores and academic records?
8. Policy/procedure for walk-ons?
9. How are non-qualifiers monitored during their year-in-residence (if applicable)?
10. Are the policies/procedures for initial eligibility certification, admissions and admission appeals for prospective student-athletes reviewed and evaluated for effectiveness regularly?

## B. Transfer Eligibility

1. How is transfer eligibility determined?
  - a. Transferable degree credits?
  - b. Qualifier status?
  - c. How are conference rules monitored (if applicable)?
  - d. Progress toward degree (e.g., GPA, 40/60/80, etc.)?
2. Verification of 2-year academic degree programs?
3. Discuss the transfer appeal policies/procedures.
  - a. Written policy/procedure?
  - b. Provided in student-athlete handbook?
  - c. Provided in compliance and/or department manuals?
4. How are student-athletes serving a year-in-residence monitored?
5. Are the policies/procedures for transfer eligibility of student-athletes and transfer appeals reviewed and evaluated for effectiveness regularly?

## C. Continuing Eligibility

1. Who is the Certifying Officer
  - a. Designated in writing?
  - b. Updated and accurate job description?
  - c. Yearly performance evaluation?
  - d. Do coaches have direct contact with Certifying Officer?
2. Who is the back-up to the Certifying Officer?
  - a. Kept up-to-date with rules education?
3. Discuss the process of the certification of continuing eligibility.
  - a. Written policy/procedure?
  - b. Approved by the CEO (14.10.1)?
  - c. Policy/procedure manual?
  - d. Policies/procedures in compliance and/or department manuals?

- e. Who keeps certification records? For how long?
  - f. Demonstrated checks and balances?
4. Does the Certifying Officer use a worksheet, checklist or spreadsheet in the certification process?
    - a. If so, are the continuing eligibility rules up-to-date?
    - b. How are the worksheets populated?
    - c. Include conference rules (if applicable)?
  5. How are coaches kept updated throughout the process?
    - a. Sign-off on all changes to eligibility?
    - b. Confirm eligibility status before competition or departing for competition?
    - c. Discuss any issues or problems with the process.
  6. Student-athletes flagged in University computer system?
    - a. If so, do flags prevent student-athletes from dropping classes?
    - b. Changing majors?
    - c. Who monitors full-time enrollment? How?
  7. Discuss degree audits.
    - a. How are class substitutions monitored and documented?
  8. Discuss the process of executing the student-athlete forms (e.g., student-athlete statement, drug testing consent, etc.).
  9. Are the policies/procedures for certification of continuing eligibility of student-athletes evaluated for effectiveness regularly? Subject to internal audit?

D. Academic Performance Plan

1. Discuss the process for calculating APR and GSR.
  - a. Written policy/procedure?
  - b. Policy manual?
  - c. Provided in compliance and/or department manuals?
2. Are the APR and GSR data subject to internal audit?



3. Are the policies/procedures for calculating and submitting APR and GSR reviewed and evaluated for effectiveness regularly?

#### **IV. Financial Aid**

- A. Determine if FAR has a role in the financial aid process

#### **VI. Student-Athlete Issues**

#### **VII. Other**